ArentFox Schiff LLP
Attorneys

Helen C. Plunkett*

DIRECTOR OF ALCOHOL REGULATORY & CORPORATE ADMINISTRATION

Helen helps ArentFox Schiff's alcohol beverage clients strengthen their compliance frameworks and manage their regulatory compliance processes.

Industries

Beverage & Food
Longevity & Healthspan

Practices

Food, Drug, Medical Device & Cosmetic
— Food & Agriculture

Education

Suffolk University, MPA, 2016
The Catholic University of America, BAS, 2013

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Helen provides end-to-end support to alcohol beverage clients on corporate governance, regulatory compliance, and securities-related matters. Her background as a corporate paralegal and as a senior paralegal at a multi-billion-dollar alcohol beverage company enables her to proactively assist public and private companies with corporate governance, transactions, commercial agreements, and filings.

Helen has extensive paralegal experience, having previously worked as a Senior Corporate Paralegal at a Chicago-based software company and as a Senior Paralegal at one of the nation's largest beer companies. In the latter role, she supported SEC reporting, investor relations, corporate governance, alcohol and general regulatory matters, and transactions, including a significant merger with a major craft brewery. Earlier in her career, Helen was a Senior Associate at a financial services company, where she focused on ETF fund management, SEC compliance, and board governance. Additionally, Helen concentrated on policy and regulatory matters as a staff assistant at the US House of Representatives, Office of the Honorable Marcy Kaptur, and a legislative aide at the Massachusetts House of Representatives, Office of Chairman John Fernandes.

**Helen is not a member of the legal practice.*

Client Work

Helen's work includes:

- Preparing and submitting state and federal alcohol beverage licenses, permits, and brand registrations;
- Ensuring the timely completion of monthly, quarterly, and annual excise tax reporting;
- Conducting regulatory research and analysis on alcohol beverage franchise laws, tied-house and trade practice regulations, and other state and federal regulatory matters;
- Providing comprehensive Board of Directors support for public and private companies, including assisting with drafting and preparing Board and committee meeting materials, agendas, resolutions, and minutes, coordinating regular, special, and ad hoc Board meetings, managing director onboarding and offboarding processes, and preparing director and officer questionnaires,

self-evaluations, related-party questionnaires, and director independence assessments;

- Assisting with preparing, reviewing, and filing periodic SEC reports, including Forms 10-K, 10-Q, 8-K, S-8, Proxy Statements, and beneficial ownership and insider filings such as Forms 3, 4, 5, Schedule 13D, and Schedule 13G;
- Assisting with drafting and reviewing corporate governance policies such as Insider Trading, Code of Ethics, Conflict of Interest, Related-Party Transactions, Whistleblower, Records Management, and other compliance frameworks;
- Overseeing public and private company equity administration, including management of stock ownership records, equity plan compliance, 10b5-1 trading plans, and capitalization tables;
- Coordinating public company annual stockholder meeting processes, including drafting and reviewing proxy materials, coordinating shareholder communications, and ensuring compliance with notice, disclosure, and filing obligations;
- Supporting corporate transactions including mergers, acquisitions, reorganizations, and securities offerings by preparing SEC Registration Statements, due diligence review, and assisting in drafting, reviewing, and executing ancillary transaction documents such as confidentiality agreements, consent forms, and closing deliverables;
- Assisting with preparing, maintaining, and updating corporate governance documents for domestic and international entities, including articles of incorporation, bylaws, operating agreements, incorporator and Board resolutions, written consents, and organizational minutes; and
- Assisting with drafting, reviewing, and negotiating standard corporate and commercial agreements, including non-disclosure agreements, master service agreements, vendor contracts, consulting agreements, and other routine business arrangements.